

Section 4

Proposal Evaluation

Section 4

Proposal Evaluation

4.1 Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

4.2 Evaluation Process

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of Proposal Application
- Phase 3 - Recommendation for Award

Evaluation Categories and Thresholds

<u>Evaluation Categories</u>		<u>Possible Points</u>
<i>Administrative Requirements</i>		
<i>Proposal Application</i>		100 Points
Program Overview	0 points	
Experience and Capability	20 points	
Project Organization and Staffing	15 points	
Service Delivery	55 points	
Financial	10 Points	
TOTAL POSSIBLE POINTS		100 Points

4.3 Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements

- Application Checklist

- Certificate of Vendor Compliance

2. Proposal Application Requirements

- Proposal Application Identification Form (Form SPOH-200)
- Table of Contents
- Program Overview
- Experience and Capability
- Project Organization and Staffing
- Service Delivery
- Financial (All required forms and documents)
- Program Specific Requirements (as applicable)

B. Phase 2 - Evaluation of Proposal Application (100 Points)

Ensure that each section is answered completely and thoroughly. Each section shall be scored individually and separately from another section. Applicants are responsible to place the appropriate information in each section to be scored.

The RFP Review Committee shall use the scale in the table below to rate each section from the RFP from "Not Addressed" to "Very Satisfactory". The percentage for the rate level will be multiplied by the maximum number of points for that item. For example, if an item is worth 6 points and the reviewer rated it as a "3 Satisfactory", the score for that item would be 3.6 (60% (.06) x 6 = 3.6)

0	1 (20%)	2 (40%)	3 (60%)	4 (80%)	5 (100%)
Not addressed	Unsatisfactory	Somewhat satisfactory	Satisfactory	More than satisfactory	Very satisfactory

Rating scale definitions:

Not Addressed: The required information was not present in the proposal.

Unsatisfactory: A major item was not addressed or was addressed incorrectly, or was addressed in the wrong category.

Somewhat Satisfactory: A somewhat adequate response was presented. Applicant appears to have restated the requirements in the RFP.

Satisfactory: All major items were addressed. Applicant provided an adequate response.

More than satisfactory: Applicant provided a strong response that was more than adequate, all major items were addressed.

Very satisfactory: Applicant thoroughly addressed all items in an exceptionally clear, concise, or original manner.

Program Overview: No points are assigned to Program Overview. The intent is to give the Applicant an opportunity orient evaluators as to the service(s) being offered in response to the Request for Proposals. The Applicant shall highlight the agency's mission and vision and the goals and objective of the proposed service activity relative to the assessed needs and available resources of the target population and geographic region identified for the service delivery.

1. *Experience and Capability (20 Points)*

The State will evaluate the applicant's experience and capability relevant to the proposal contract, which shall include:

a. Necessary Skills

3

- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.
- Demonstrate skills, abilities and capacity to deliver proposed services in the identified geographic region for the target population.

b. Experience

5

- Demonstrate minimum three (3) years experience delivering services related to request for services.
- Demonstrate experience successfully delivering services for the target population. Document evidence such as awards, certificates, and outcomes.

c. Quality Assurance and Evaluation

4

- Sufficiency of quality assurance and corrective action, including methodology.
- Sufficiency of evaluation plans to assess program implementation, fidelity to program model, and youth participation and success in the service program.

d. Coordination of Services

3

- Demonstrated capability to coordinate services with other agencies and resources in the community. Past Memorandum of Agreements/Understanding, letters document this ability.
- Sufficiency of collaboration and coordination plans related to implementation of proposed services.
- Documented support and involvement of agencies and community for proposed services. Draft MOA/MOUs with proposed sub-contractors.

e. Facilities

5

- Adequacy of facilities relative to the proposed services.
- Facilities meet ADA requirements, as applicable.

2. Project Organization and Staffing (15 Points)

The State will evaluate the applicant's overall staffing approach to the service that shall include:

a. Staffing

- Proposed Staffing: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services. **4**
- Staff Qualifications: Job descriptions and minimum qualifications (including experience) for staff assigned to the program are included. The number of program service positions is sufficient to ensure effective program/service delivery. **4**
- Proposal includes resumes of key staff that list experience with related or similar services and target population

b. Project Organization

- Supervision and Training: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. **4**
- Organization Chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks is diagramed. **3**

3. Service Delivery (55 Points)

Evaluation criteria for this section will assess the applicant's approach to the service activities and management requirements outlined in the Proposal Application Instructions and **Section 2, 2.4 -Scope of Work** for each service area (A and B) of the RFP. It is recommended that applicants review the evaluation criteria for the service delivery section of the specific service they are proposing to deliver.

Outreach and Advocacy (HMS 501-15-01-A)

- The Service Framework includes the Native Hawaiian Education Council (NHEC) seven guiding themes for culturally responsive learning environments, and trauma-informed care approach, to ensure youth have the opportunity to develop social, emotional, cognitive, behavioral and moral competencies and resiliency to enable them to achieve a successful transition to young adulthood. 6
- Needs assessment engaged community in identifying and prioritizing needs and services to ensure the appropriateness of services for the targeted youth, including assessment of the community's readiness for the proposed services, and justifying the need for services. Assessment included information from reliable data sources, identified risk and protective factors, reports, studies, and strategic plans or planning efforts. 5
- The family is an integral part of the attendant care services and referral process, as well as the **creative and non-traditional approaches** to be utilized in order to engage youth and their families in the referral service. 10
- The description of the **required activities**, including engagement of youth, intake, assessment, service planning, informing, advocacy, referring, and follow-up is sufficient to ensure that Outreach and Advocacy services will be effectively provided. 10
- Performance measures (targets and milestones) been established for participants. 2
- The staff positions providing the activity, the location of the activity, and when the activity will be provided, as well any other details that further illuminate the service flow are described. 7
- Description effectively addresses the **related service activities** including delivery and approach, collaboration, and appraisals. 7
- The work/service plan clearly articulates the overall service flow from program entry to program completion and ensures that youth will be properly serviced. 8

Residential Services (HMS 501-15-01-B)

The applicant must submit a *separate service proposal* for *each type of service* (Intensive Residential Services, Independent Living Program, Intensive Residential Services - Independent Living Program, and Emergency Shelter) being proposed. If the applicant is proposing to offer the same type of service in multiple geographic regions, the proposal shall include specific regional information concerning referral to appropriate resources for additional services. This will allow the OYS to compare proposals by the types of services proposed in each geographic region. Each service delivery section shall include a detailed discussion of the following service activities extrapolated from Section 2, 2.4, Scope of Work, which should be referred to for more details:

Intensive Residential Services

- The Service Framework includes the Native Hawaiian Education Council (NHEC) seven guiding themes for culturally responsive learning environments and trauma informed care approach **4**
- Comprehensive needs assessment includes information from reliable data sources and substantiates readiness of target population and community to address identified needs with proposed services. **3**
- The specific target population is identified, described and appropriate for the planned service activity. **2**
- Residential service model to be utilized is described, including the adequacy of facilities. **2**
- A valid, objective risk and needs assessment instrument is identified and method of training staff in its use described **3**
- Comprehensive description of core services to be provided, including healthful and safe environment, screening for program appropriateness, risk assessment and development, case management, relapse prevention, referral, participation in meetings, and follow-up services. **14**
- Comprehensive description of additional services, including social skills building, cognitive behavioral training, substance abuse treatment and prevention, positive peer relationship, leisure time management, educational support, family intervention, and transition plan. **14**
- Performance measures (targets and milestones) have been established for participants. **2**
- Service activity is age, gender, developmentally, and culturally-appropriate for the target population and **3**

- responsive to the target population.
- The work plan for the major service activities and tasks to be completed clearly articulates the overall service flow from program entry to program completion. 5
- Specific regional information concerning collaboration and coordination with community-based resources are described. 3

Independent Living Program

- The Service Framework includes the Native Hawaiian Education Council (NHEC) seven guiding themes for culturally responsive learning environments and trauma informed care approach 4
- Comprehensive needs assessment includes information from reliable data sources and substantiates readiness of target population and community to address identified needs with proposed services. 3
- The specific target population is identified, described and appropriate for the planned service activity. 2
- Residential service model is to be utilized is described, including the adequacy of facilities. 2
- A valid, objective risk and needs assessment instrument is identified and method of training staff in its use described 3
- Comprehensive description of services to be provided, including healthful and safe environment, screening for program appropriateness, risk assessment and development, case management, relapse prevention, referral, participation in meetings, and follow-up services. 14
- Comprehensive description of additional services, including social, independent living skills, cognitive behavioral training, substance abuse treatment and prevention, positive peer relationship, leisure time management, educational support, vocational exploration, job search, college exploration, family strengthening, and transition plan. 14
- Performance measures (targets and milestones) have been established for participants. 2
- Service activity is age, gender, developmentally, and culturally appropriate for the target population and responsive to the target population. 3

- The work plan for the major service activities and tasks to be completed clearly articulates the overall service flow from program entry to program completion. 5
- Specific regional information concerning collaboration and coordination with community-based resources are described. 3

Emergency Shelter Residential Services

- The Service Framework includes the Native Hawaiian Education Council (NHEC) seven guiding themes for culturally responsive learning environments and trauma informed care approach 4
- Comprehensive needs assessment includes information from reliable data sources and substantiates readiness of target population and community to address identified needs with proposed services. 3
- The specific target population is identified, described and appropriate for the planned service activity. 3
- Residential service model is to be utilized is described, including the adequacy of facilities. 3
- Comprehensive description of core services to be provided, including healthful and safe environment, screening for program appropriateness, risk assessment and development, case management, relapse prevention, referral, participation in meetings, and follow-up services. 14
- Comprehensive description of additional services, including crisis reduction, and family strengthening. 14
- Performance measures (targets and milestones) have been established for participants. 2
- Service activity is age, gender, developmentally, and culturally appropriate for the target population and responsive to the target population. 3
- The work plan for the major service activities and tasks to be completed clearly articulates the overall service flow from program entry to program completion. 5
- Specific regional information concerning collaboration and coordination with community-based resources are described. 4

4. Financial (10 Points)

- Cost proposal and required support documentation 1

- and justification included. 2
- Personnel costs are reasonable and comparable to similar positions in the community. 1
- Non-personnel costs are reasonable and adequately justified. 3
- Proposed budget fully supports the service activity and requirements of the RFP. 1
- Adequacy of accounting system (evidence of valid tax clearance, recent audit, and cost allocation plan). 1
- Positions and personnel responsible for fiscal operations and reporting identified and qualified. 1
- Staff responsible for maintaining accounting records and filing required expenditure reports identified. 1

C. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant.

Section 5

Attachments

- A. Proposal Application Checklist
- B. Sample Table of Contents
- C. Performance Pan, OYS Form 4-1
- D. A Crash Course on the Outcomes Framework

Proposal Application Checklist

Applicant: _____ RFP No.: _____

The applicant's proposal must contain the following components in the order shown below. Return this checklist to the purchasing agency as part of the Proposal Application. SPOH forms are on the SPO website.

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Applicant to place "X" for items included in Proposal
General:				
Proposal Application Identification Form (SPOH-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPOH-200A)	Section 3, RFP	SPO Website*	X	
Hawaii Compliance Express Verification Certificate	Section 1, RFP	Hawaii Compliance Express SPO Website*	X	
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5	X	
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5	X	
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*	X	
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
Certifications:				
<i>Federal Certifications</i>		Section 5, RFP		
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				
Performance Plan, Form 4-1			X	

*Refer to subsection 1.2, Website Reference for website address.

Proposal Application Table of Contents

1.0	Program Overview	1
2.0	Experience and Capability	1
	A. Necessary Skills	2
	B. Experience.....	4
	C. Quality Assurance and Evaluation.....	5
	D. Coordination of Services.....	6
	E. Facilities.....	6
3.0	Project Organization and Staffing	7
	A. Staffing.....	7
	1. Proposed Staffing	7
	2. Staff Qualifications	9
	B. Project Organization	10
	1. Supervision and Training	10
	2. Organization Chart (Program & Organization-wide) (See Attachments for Organization Charts	
4.0	Service Delivery.....	12
5.0	Financial.....	20
	See Attachments for Cost Proposal	
6.0	Litigation.....	20
7.0	Attachments	
	A. Cost Proposal	
	SPO-H-205 Proposal Budget	
	SPO-H-206A Budget Justification - Personnel: Salaries & Wages	
	SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits	
	SPO-H-206C Budget Justification - Travel: Interisland	
	SPO-H-206E Budget Justification - Contractual Services – Administrative	
	B. Other Financial Related Materials	
	Financial Audit for fiscal year ended June 30, 1996	
	C. Organization Chart	
	Program	
	Organization-wide	
	D. Performance and Output Measurement Tables	
	Table A	
	Table B	
	Table C	
	E. Program Specific Requirements	

Office of Youth Services
OUTCOMES PLAN & PROGRAM REPORT
☐ (Submit Original and Two Copies For Each Target Group)

Note: To X a ☐, Double Click On It, Select "Checked" Option

<p><input type="checkbox"/> 1 Target Group <input type="checkbox"/> 2 Target Group</p>	<p>This Document is Submitted As (Check One Only):</p> <p><input type="checkbox"/> Initial Outcomes Plan (After Approval, May Not Be Revised Without OYS Consent)</p> <p><input type="checkbox"/> Quarterly Program Report for (Check One):</p> <p style="margin-left: 20px;"> <input type="checkbox"/> 1st <input type="checkbox"/> 2nd <input type="checkbox"/> 3rd <input type="checkbox"/> 5th <input type="checkbox"/> 6th <input type="checkbox"/> 7th Quarter </p> <p><input type="checkbox"/> (Check One)</p> <p style="margin-left: 20px;"> <input type="checkbox"/> One Year Report (4th Quarter) or <input type="checkbox"/> Two Year Report (8th Quarter) </p> <p><input type="checkbox"/> A Request for Revision (Boldface Requested Changes). Fill Out Request for Revision Section in Form 4-1.</p>
<p>Contract Number: DHS _____ OYS _____</p>	<p>Date Submitted _____</p>
<p>Agency:</p>	<p>Prepared By (Signature)</p>
<p>Contract Start Date: ____/____/____</p>	<p>Date Approved ____/____/____</p>
<p>Contract End Date: ____/____/____</p>	<p>Approved By (Signature)</p>

Target Group Description

<p><input type="checkbox"/> Ethnicities Targeted (Check One or More)</p> <p><input type="checkbox"/> All Ethnicities</p> <p><input type="checkbox"/> American Indian</p> <p><input type="checkbox"/> Black</p> <p><input type="checkbox"/> Cambodian</p> <p><input type="checkbox"/> Caucasian</p> <p><input type="checkbox"/> Chinese</p> <p><input type="checkbox"/> Filipino</p> <p><input type="checkbox"/> Hawaiian (Part, Full)</p> <p><input type="checkbox"/> Japanese</p> <p><input type="checkbox"/> Korean</p> <p><input type="checkbox"/> Laotian</p>	<p><input type="checkbox"/> Risk Level Targeted (Check One Level Only)</p> <p><input type="checkbox"/> Risk Level I</p> <ul style="list-style-type: none"> • At-risk for violence, substance abuse, and/or criminal activity due to geographic, ethnic, or socioeconomic factors. <p><input type="checkbox"/> Risk Level II</p> <p>Any One of the Following:</p> <ul style="list-style-type: none"> • Status offender: Chronically truant, runaway. • Involved in gangs, violence, or substance abuse. • Experiencing serious family problems. • Abused and/or neglected. <p><input type="checkbox"/> Risk Level III</p> <p>Any One of the Following:</p> <ul style="list-style-type: none"> • Any characteristic of Level II, but also has immediate need for food, shelter, clothing, and/or medical treatment. • Involved in felony activity. • Court adjudicated. • At-risk for out-of-home placement. • At-risk for secure confinement. <p><input type="checkbox"/> Risk Level IV</p> <ul style="list-style-type: none"> • Chronic serious offender requiring secure confinement for safety of public and/or of self. 	<p><input type="checkbox"/> Service Areas Targeted (Check One or More)</p> <p><input type="checkbox"/> Statewide (All Islands)</p> <p><input type="checkbox"/> Oahu (All)</p> <p><input type="checkbox"/> Oahu: Central</p> <p><input type="checkbox"/> Oahu: Honolulu</p> <p><input type="checkbox"/> Oahu: Leeward</p> <p><input type="checkbox"/> Oahu: Windward</p> <p><input type="checkbox"/> Hawaii (All)</p> <p><input type="checkbox"/> Hawaii: Hamakua</p> <p><input type="checkbox"/> Hawaii: Kohala, Waimea</p> <p><input type="checkbox"/> Hawaii: Kona, Kailua-Kona</p> <p><input type="checkbox"/> Hawaii: Keau, Paho</p> <p><input type="checkbox"/> Hawaii: Naalehu, Kau</p> <p><input type="checkbox"/> Kauai (All)</p> <p><input type="checkbox"/> Kauai: Kokee, Hanalei, Kilauea</p> <p><input type="checkbox"/> Kauai: Waimea, Koloa, Niihau</p> <p><input type="checkbox"/> Maui (All)</p> <p><input type="checkbox"/> Maui: Lahaina, Wahee</p> <p><input type="checkbox"/> Maui: Wailuku, Kahului, Kihei</p> <p><input type="checkbox"/> Maui: Kula, Haiku, Makawao</p> <p><input type="checkbox"/> Maui: Keanae, Hana, Paia</p> <p><input type="checkbox"/> Maui: Lanai</p> <p><input type="checkbox"/> Maui: Molokai</p>
<p>Age Range Targeted (Between 5 - 19 Years)</p> <p>_____ To _____</p>	<p>Gender:</p> <p><input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> MF</p>	

Performance Targets and Milestones: Report (Unduplicated by Quarters)

PT	Performance Target & Milestones	1st	2nd	3rd	4th	On Year		5th	6th	7th	8th	Two Year		Releases To Date
						Goal	Actual					Goal	Actual	
1	Performance Target (Arial Narrow, 8 Point Type):													
	PT Type:													
	Milestones													
	Sources of Verification													
a.	Milestone (Registration):													
b.	Milestone:													
c.	Milestone:													
d.	Milestone:													
e.	Milestone:													
f.	Milestone:													
g.	Milestone:													
h.	Milestone (Last Milestone is the Performance Target):													

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program
 #Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

Performance Targets and Milestones: Report (Unduplicated by Quarters)

PT	Performance Target & Milestones	1st	2nd			3rd			4th			On Year	5th		6th	7th	8th	Two Year	
			P	A	P	A	P	A	P	A	P		A	Goal				Actual	
2	Performance Target (Arial Narrow, 8 Point Type):																		
	PT Type:																		
	Milestones																		
	Sources of Verification																		
	a. Milestone (Registration):																		
	b. Milestone:																		
	c. Milestone:																		
	d. Milestone:																		
	e. Milestone:																		
	f. Milestone:																		
	g. Milestone:																		
	h. Milestone (Last Milestone is the Performance Target):																		

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
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[illegible]

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals Do Not Release Youths Who Complete the Program.
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

Performance Targets and Milestones: Report (Unduplicated by Quarters)

Performance Target & Milestones		1st		2nd		3rd		4th		On e Yea r		5th		6th		7th		8th		<input type="checkbox"/> Two Year s		Releases To Date	
P	T	#Carryovers		P	A	P	A	P	A	P	A	P	A	P	A	P	A	<input type="checkbox"/> Two Year Goal	2YTD Actual				
4	Performance Target (Arial Narrow, 8 Point Type):	Milestones		Sources of Verification																			
	PT Type:																						
	a. Milestone (Registration):																						
	b. Milestone:																						
	c. Milestone:																						
	d. Milestone:																						
	e. Milestone:																						
	f. Milestone:																						
	g. Milestone:																						
	h. Milestone (Last Milestone is the Performance Target):																						

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
 #Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

☐ **Narrative for Quarterly Report**

- ☐ **Do Not Submit As Initial Outcomes Plan**
☐ **Fill In Answers After Each Question**
Submit A New Narrative Each Quarter

During the past Quarter:

1. What were your agency's major accomplishments towards achieving the performance targets and milestones established for this program? What activities proved to be especially effective?
2. In reviewing the Scope of Services for this program, which components of the Scope has your agency successfully implemented or achieved? Which components are you having difficulty implementing or achieving? Why?
3. What problems did this program have to deal with, in terms of staffing, program planning and administration, outcomes monitoring and reporting, communication, youth participation, finances, or communication with the OYS? How were these problems resolved? If the problems were not resolved, what are the plans for resolving these problems?
4. Please provide other comments or observations that will help the OYS understand the progress of this contract at this time?

Addendum for the 4th and 8th Quarter Reports

5. Which performance targets and milestones were achieved, which were not? If performance targets and milestones were not achieved, why not?
6. Please describe any curriculum model or program activity that proved to be especially effective.
7. Can the OYS help you with program design or implementation? How? What changes would you make to program design?
8. What other comments or observations do you have that will help the OYS understand the progress of this contract?

☐ Request for Revision

☐ This Form 4-1 is being submitted as a Request for Revision of an Outcomes Plan previously submitted and approved. The **boldfaced** items have been changed in the Outcomes Plan. The changes are described below. Upon OYS approval of all proposed changes, this Form 4-1 becomes the agency's revised Outcomes Plan.

Change Number	Change Is Requested in the Following (Quote Original Language from the Approved Outcomes Plan)	Change Is Requested As Follows (Type in the New Language That Reflects the Requested Change)	Reasons for Requesting the Change
1			
2			
3			

Submitted By: Date:

Approved by: Specialist: Date:

☐ For OYS Use Only

If approved, changes are effective as of: Date:

☐ **Target Type Codes**

Place the Target Type Number Next to Each Performance Target in Form 4-1.

- No. Brief Description**
1. Decreased Arrests (Including Diversion, DMC)
 2. Improved or Increased School Attendance
 3. Improved or Increased Community Service
 4. Education (of Youth)
 5. Improved Self-Esteem
 6. Improved Family, Personal Relationships
 7. Decreased Gang, Delinquency Activity
 8. Improved G.P.A.
 9. Increased Health, Physical Competencies
 10. Increased Personal, Social Competencies
 11. Decreased Substance Abuse
 12. Training (of Adults)
 13. Decreased Violence, Anger
 14. Vocational Education, Training (Youth)

A CRASH COURSE ON THE OUTCOMES FRAMEWORK:

The Basics on
Outcomes, Performance Targets and Milestones

DEVELOPED FOR THE
OFFICE OF YOUTH SERVICES



HAWAII COMMUNITY SERVICES COUNCIL

© AUGUST 2003



The Office of Youth Services Commitment to Results Accountability and the Outcomes Framework

The Office of Youth Services (OYS) continues to support the outcomes framework to guide programmatic efforts to provide effective programs and services for youth; verify that public resources are expended in an effective and accountable manner; procure services that truly impact our youth in a significant and sustained way; and verify that contracted agencies achieve the intended program “outcomes.”

It is vital that youth service agencies understand and commit to the application of the outcomes framework (outcomes, performance targets and milestones) in providing services contracted by the OYS. Performance results will continue to be viewed and outlined based on the outcomes framework and provide the foundation on which statewide services supported by the OYS are developed, implemented, maintained, and evaluated.





Definitions of Key Concepts and Terminology

Clarity about key concepts and terminology is essential to effectively using the outcomes framework. Many of these terms are used in our workplaces and by other funders. Unfortunately, there is little consistency in the use of the terminology between different arenas. Therefore, it is essential that you be aware of the potential for variation and be prepared to translate your work accordingly.

The key concepts and terms below are defined in accordance with their application by the Office of Youth Services. To aid in your ability to translate the definition appropriately for your workplace or other funders, we have included alternative terms that are often used to describe the same concept. Please be aware that the alternative list of terms may be not be comprehensive.

1 Program Outcome

- Expresses the agency's ideal state: *"All children and youth will lead drug-free lives."*
- Often represents a portion of the agency's over-arching purpose or mission.

Alternative Terms:

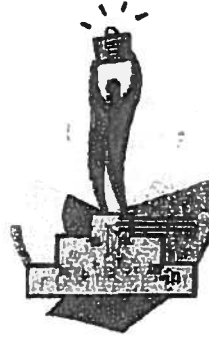
- Program Mission
- Program Goal
- Community-Level Outcome



2 Performance Target

- The anticipated amount of *change in the program participants* that occurs as a *consequence of the service provided* by the agency.
- The performance target will address changes in the program participants in one or more of the following areas:

- ✓ Skills & knowledge
- ✓ Behavior
- ✓ Attitude
- ✓ Environment



Example:

40 of the 100 youth participating in the Individualized Educational Counseling Program will reduce their absenteeism by 50% and improve their grade point average by a minimum of .75 within 6 months of entering the program, and maintain or improve on these gains for an additional 6 months.

- In some cases, such as the Office of Youth Services, the performance target has been established by the funder. The performance target may be stated in the Request for Proposal.
- The performance target does not reflect the actions or behaviors of the agency's staff members in the delivery of program services (see Program Activities).

Alternative Terms:

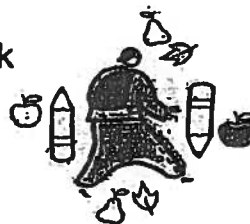
- Results
- Outcomes
- Impact
- Product
- Success
- Goal
- Objective

3 Milestones

- *Intermediate actions made by program participants* that indicate they are *on the path to successfully achieving the performance target*.

Example:

If the *performance target* for an educationally at-risk youth is to graduate high school, *milestones* on the path to graduating might be:



1. *attend school*
 2. *do homework and class work*
 3. *do homework and class work successfully*
 4. *improve grades*
 5. *pass all tests*
- The milestones *do not* reflect the actions or behaviors of the agency's staff members in the delivery of program services (see Program Activities).
 - Milestones *begin at the agency's first point of contact* with program participants and *typically conclude after a follow-up period* is completed after the conclusion of direct services. This may vary by program.
 - *Agencies choose which milestones to track and report*, in agreement with their monitoring bodies or funder, such as the Office of Youth Services, *that most effectively communicate the success of program participants in achieving the performance target*.
 - Agencies need to *think strategically* about which milestones most effectively communicate their success with program participants, and at the same time can be efficiently documented on an ongoing basis. Typically, agencies should not attempt to collect data on all the milestones that occur, as this would be too time consuming and costly.

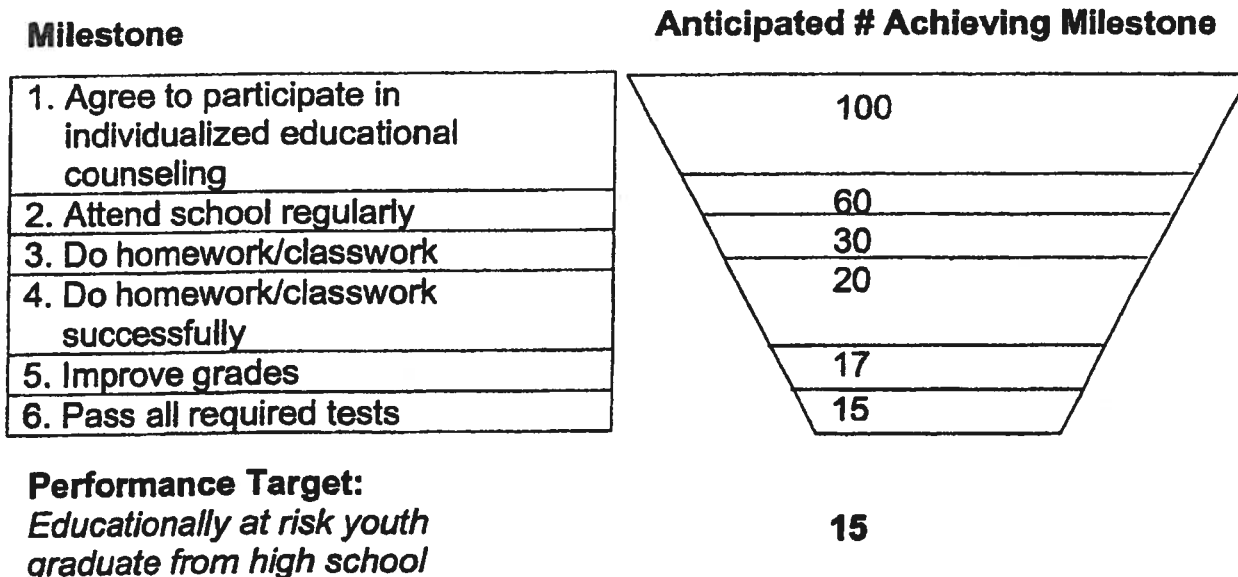
Alternative Terms:

- Mini-outcomes
- Program data on participants' changes
- Objectives

4 Milestone Funnel

- A *method for tracking and reporting participants' achievement of milestones*. This method is used as a means of ensuring accountability. It is used primarily by government funders that have a responsibility for monitoring the effective use of taxpayer dollars invested for the community good.
- The milestone funnel *presumes a linear program structure* where program participants enter the program services and engage in a series of progressively improving changes that ultimately lead to the achievement of the overall performance target. The milestone funnel *may be modified to accommodate non-linear program services*.
- The "funnel" concept represents a belief that many participants will make progress towards the overall performance target, achieving some, but not all of the milestones. Consequently, the reported numbers show the largest amount of participants at the point of entry and decreases over the number of milestones, thus creating the "funnel effect."

Sample Milestone Funnel:



4 Milestone Funnel continued

- Over time, the *analyzed data of the milestone funnel should lead to insights about how to improve program services to enable more participants to increase their successes* and move further along on their milestones.

Alternative Terms:

- Reporting form
- Program Flow
- Service Flow



5 Indicators

- The *means of verification, through direct or indirect measures, of the successful achievement* of the milestones and/or performance target.
- Regularly *observable* events or behaviors that suggest program participants are making the desired changes leading to the performance target, or that the performance target has been achieved.

Examples:

- ✓ *Self-report*
- ✓ *Report from spouse and friends*
- ✓ *Teacher report*
- ✓ *Staff member observation*
- ✓ *Home visit report*
- ✓ *Disinterested third-party documentation, such as attendance records, report card, employer confirmation, pay stubs, etc.*
- ✓ *Pre-post test*
- ✓ *6 month follow-up phone interview*



Alternative Terms:

- Measures of success

6 Program Activities

- The *work performed by program staff*. The services program staff provide that are intended to help program participants create change in their lives.

Examples:

- ✓ *Outreach*
- ✓ *Intake*
- ✓ *Leadership development workshop*
- ✓ *Individualized counseling*
- ✓ *After school tutoring*



- Health and human service programs, whether nonprofit or public, believe that the provision of quality activities by competent staff members enable program participants to create valuable changes in their lives. Therefore, *program activities are essential to the achievement of the participants' milestones and performance target*.
- Program activities *do not* reflect changes in skills & knowledge, behavior, attitude or environment that occur for program participants.
- The program activities employed by an agency are *a reflection of the theory of change it holds for its participants*, based on its underlying philosophy, assumptions and values.

Alternative Terms:

- Outputs (the activity and volume at which it occurs)
- Methodology
- Program service delivery
- Process



6 Program Activities continued~

Example:

Program Actions: What Program Staff Do	Participant Expected Actions: What Participants Do as a Result (Milestones)	Anticipated Results: # Expected to Achieve Milestone
Outreach and intake	1. Agree to participate in individualized educational counseling	100
Wake up call/Transportation	2. Attend school regularly	60
After school tutoring	3. Do homework/classwork	30
After school tutoring	4. Do homework/classwork Successfully	20
Test taking coaching ~	5. Improve grades	17
Test taking coaching	6. Pass all required tests	15
	Performance Target: Educationally at risk youth graduate from high school	15





Establishing a Performance Target

Now that we have a firm handle on the key terms involved in the outcomes framework, we turn our attention to the process of developing a performance target. *A well articulated performance target has the following elements clearly identified:*

- **WHO** is being served in the program (the target population)
- **WHAT** change is expected for the program participants (in skills & knowledge, behavior, attitude and/or environment)
- **HOW MUCH** change is expected for the program participants
- **BY WHEN** the change is expected for occur for the program participants
- **AS INDICATED BY** regularly observable and verifiable signs that desired changes have occurred

Succinctly put, a performance target answers the question, “What is success?”

Sample Performance Target:

- **WHO**
- **WHAT and HOW MUCH**
- **BY WHEN**
- **AS INDICATED BY**

For the program year 2004-05,

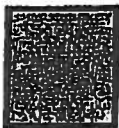
of the 100 educationally at-risk youth registered in the individualized educational counseling program,

40 will reduce their absenteeism by 50% and improve their grade point average by a minimum of .75

within 6 months of entering the program and maintain or improve on these gains for an additional 6 months

as indicated by their attendance record, quarterly report cards, and teacher reports.





Identifying Milestones

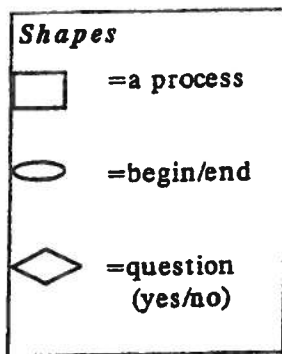
Identifying milestones leading to the achievement of the performance target is essential to the outcomes framework. It requires an understanding of both program activities and the changes occurring for the program participants. We need to understand when the cumulative efforts of program activities can be expected to result in observable change among program participants.

If we try to generate milestones by brainstorming a list of observable changes among program participants, it is likely the list will be incomplete, in random order and include many program activities. There is a tool called *process mapping*, or flow charting, that is very helpful in identifying, in detail and in order of occurrence, both program activities and the milestones leading to the achievement of the performance target.

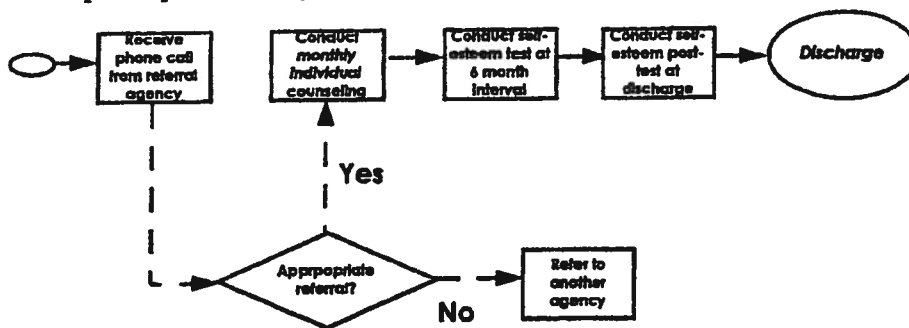
Process maps can be very general, using a few broad steps to indicate major process areas. Or they can be very detailed, breaking out each single step in the process. Although the latter option can be a bit tedious in the development, this detailed view of program service delivery, outlining both staff and participant actions, is extremely useful in developing a common understanding of the program and aids in the design of the milestone funnel.

Although many examples of process maps are drawn in a linear fashion, they do not need to be limited in that manner. In fact, process maps are very useful in showing how some services loop back to other services, or how many pathways lead to a common change or activity later on.

Sample Process Map



Example: A *process map* for a health and social service program.



Tips for Process Mapping

1. Suggested materials:

- Large sheet of paper
- 3 x 5 in. post-its or colored markers
- A general or detailed understanding of the program services



2. **Optional:** Utilize three shapes to help indicate the type of activity occurring. An oval indicates the beginning and the end of a series of process steps. A square indicates a step in the process. A diamond indicates a yes/no question, for example, "Is the participant eligible for services?" Arrows are used to connect the shapes and show the direction of action. If this feels too complicated, just use the squares and arrows. Using post-its allows flexibility in adding items or changing the order.
3. Come to the process map from the perspective of a program participant.
4. Begin with how the program participant enters into the program services. (self-referred, referred by others, make a phone call, receive a flyer, etc.). Make sure you list all the avenues by which participants may enter the program.
5. Once participants have entered the program, map the actions that occur. Try saying, "First we (staff) do this. Then what happens? Do participants do something in response? Is there another staff action that must occur next?" Keep in mind that staff actions will be more numerous than program participant actions, but you want to capture both.
6. **NOTE:** Program participant actions represent milestones on the participant's pathway to successfully achieving the performance target.
7. Map all the variations that occur following any yes/no questions. "If this happens, then what?"
8. Map all the ways in which program participants depart the program. This includes the ideal scenario of successful completion of the performance target and intermediate junctures when participants leave without completing the entire program.

Using the Process Map to Create Your Milestone Funnel

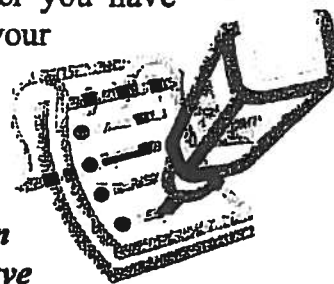
- Use the process map to *identify program participant milestones*. Write them down, in order, on the milestone funnel (see Milestone Worksheet on next page).
- You may have more milestones than you want or can afford to track properly for monitoring purposes. *Select the most critical milestones that can be verified and that clearly relate to the achievement of the performance target.*
- You should *seek agreement* with your funder that the milestones you have outlined to achieve the desired performance target will satisfy their reporting requirements.



- Your next step is to *implement data collection*.
- All this process mapping, milestone funneling and data collection is a lot of work if you use it for reporting purposes only. *Analyze the data and look for information that will help you improve your program services* and increase the number of program participants who achieve the desired performance target.

Great Ways to Use the Process Map

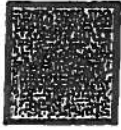
- Sitting back and looking at the completed picture after you have drafted the process map, then writing down your *observations for improvements*. Once the map is outside of our heads we often see *great opportunities for streamlining or improving the process*.
- Ensuring all *staff members share a common understanding of the work* they are engaged in and *have appropriate expectations for program participants*.
- *Training and orientation* for new staff.
- *Educating board members*, particularly those on the Program Committee.



Participant Steps: MILESTONES Worksheet

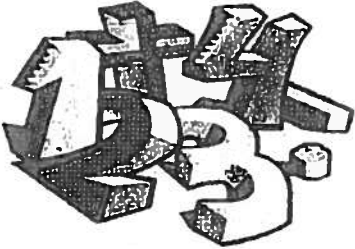
Program Actions: What PROGRAM STAFF Do	Expected Participant Actions: What PARTICIPANTS Do As a Result	Anticipated Results: Number Expected to Achieve	Verification: How You Know Participants Achieved
1.	1.	1.	1.
2.	2.	2.	2.
3.	3.	3.	3.
4.	4.	4.	4.
5.	5.	5.	5.
6.	6.	6.	6.
7.	7.	7.	7.
8.	8.	8.	8.
9.	9.	9.	9.
10.	10.	10.	10.
Performance Target Statement:		Anticipated Level of Achievement:	Verification of Performance Target:



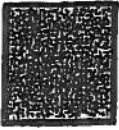


Critiquing a Milestone Funnel

Below is a suggested process for reviewing a milestone funnel and assessing whether or not it meets the quality required.

1. Read the performance target.
2. Read the milestones.
3. Do the milestones seem connected to the performance target?
4. Do the milestones appear to be in a logical order?
5. Are there any significant gaps in milestones? *(Keep in mind that you have been advised not to track everything, and to only track actions that can be verified.)*
6. Do the milestones represent changes in the participants *(not agency staff activity)*?
7. Do these milestones logically lead the achievement of the performance target?
- 
8. Read the numbers.
9. Do they add up properly?
10. Do they funnel?
11. How has the carry forward of program participants from the proceeding year been handled?
12. How are you documenting the achievement of milestones and the performance target?
13. This is a reporting form of selected measures – do the milestones represent critical steps or are they trying to do too much?





Common Mistakes

1 Confusing Program Activities for Milestones

The most common mistake in identifying performance targets and milestones is the **misidentification of program activities or services as the change occurring for program participants**. While it is true that the program services assist participants in creating change in their lives, they represent the process by which agencies guide change, not the change itself.



Here is an easy test that will allow you to **distinguish performance targets and milestones from activities and outputs**. When considering the item, ask yourself whose behavior the item refers to. For example:

- If you find yourself saying, “**WE** do this activity,” you are *describing program activities and outputs* - the work staff performs.
- If you find yourself saying, “**THEY** do this activity” or “**THEY** take this action”, you are describing *milestones or performance targets* - the observable changes made by program participants.

Example:

Program Activities and Outputs for Youth Employment Training Program (Annual Figures)

- *We provide # of orientations*
- *We provide # of Positive Lifestyle workshops*
- *We provide # of leadership/team-building events*
- *We provide # of employment skills development workshops*
- *We provide # of follow-up assessments*

Performance Target for Youth Employment Training Program

Of 40 high school youths, 24 will have obtained one or more of the following within 1 semester of program participation:

- *They will perform 10 hours of job shadowing and/or volunteer opportunities*
- *They will do an internship*
- *They will have an interview with a prospective employer*
- *They will demonstrate job skills (such as commitment, career interest attitude, importance of appearance and presentation)*
- *They will gain employment*



2 Milestone Funnels that Don't Funnel

Milestone funnels that don't funnel are an extremely common occurrence. Check your process map to see if you have dis-ordered the steps that lead to the next logical step in the change process for the majority of program participants.

Remember, the milestone funnel presumes a linear program structure. If your program services are not linear, then it is likely that your milestone funnel isn't funneling clearly. If you have a non-linear process map and have difficulty translating it into the milestone funnel, don't despair. You have several alternatives.

- a. Keep in mind that your job is to **fairly represent the real changes** program participants are making through your services. *Do not attempt to represent your entire program service capabilities through the milestone funnel.* Odds are it won't work. Think of it as a snapshot.
- b. Talk to your funder. Seek advice.
- c. Ask for technical assistance.

